

**BOARD OF COUNTY COMMISSIONERS
AGENDA ITEM SUMMARY**

Meeting Date: October 19, 2005

Division: Mayor Dixie M. Spehar

Bulk Item: Yes ☐ No ☒

Department: BOCC1

Staff Contact Person: Jana Johnson-Willi

AGENDA ITEM WORDING: Approval of Mayor's signature for Catholic Charities Homeless Prevention Grant Application to the State of Florida Department of Children and Families Office on Homelessness.

ITEM BACKGROUND: Under the Mayor's signature is "Subject to ratification by the BOCC" due to a deadline date of October 14, 2005 for submittal. Full packet is enclosed.

PREVIOUS RELEVANT BOCC ACTION:

CONTRACT/AGREEMENT CHANGES:

STAFF RECOMMENDATIONS:

TOTAL COST: _____

BUDGETED: Yes ☐ No ☐

COST TO COUNTY: _____

SOURCE OF FUNDS: _____

REVENUE PRODUCING: Yes ☐ No ☐ **AMOUNT PER MONTH** _____ **Year** _____

APPROVED BY: County Atty _____ OMB/Purchasing _____ Risk Management _____

DIVISION DIRECTOR APPROVAL: *Dixie M. Spehar*
Dixie M. Spehar, Mayor

DOCUMENTATION: Included ☒ Not Required _____

DISPOSITION: _____

AGENDA ITEM # _____

STATE OF FLORIDA
DEPARTMENT OF CHILDREN AND FAMILIES
OFFICE ON HOMELESSNESS

FEDERAL EMERGENCY SHELTER
GRANTS PROGRAM
PREVENTION PROPOSAL

5.2

Title Page
RFP Number
07F05KL1

5.2.1

5.2.2

Title of Proposal: CATHOLIC CHARITIES' HOMELESS
PREVENTION PROPOSAL FOR MONROE COUNTY

5.2.3

Catholic Charities of the Archdiocese of Miami, Inc. – Monroe County

5.2.4

Ms. Bonnie Hazleton
Department of Children and Families
Office on Homelessness
Building 3, Room 327
1317 Winewood Boulevard
Tallahassee, FL 32399-0700

5.2.5

Vendor profile information:
Richard Turcotte, Ph.D. Chief Executive Officer (305) 754-2444
9401 Biscayne Boulevard, Miami, FL 33138
Michael Perry, Division Director of Monroe County Catholic
Charities of the Archdiocese of Miami, Inc. (305) 292-9790, Cell:
(305) 394-7430
2700 Flagler Avenue, Key West, FL 33040

5.2.6

Contact: Michael Perry

5.2.7

Location: 2855 Overseas Highway, Marathon Key, Florida 33050
(305) 289-8915

5.2.8

The County to be served is Monroe County

5.2.9

The funds will be used to provide integrated case management and
coordinated services to families and individuals by providing short-term
subsidies to pay rent/mortgage payments and utility bills to prevent
eviction and homelessness.

5.3 RESPONSE TO INTRODUCTION

Catholic Charities of the Archdiocese – Monroe County Division has been providing homeless prevention services for more than five years and recognizes the need to expand the efforts to reach the growing number of families and individuals who are facing homelessness within the Florida Keys. In order to provide sufficient services to meet this gap in the continuum of care, Catholic Charities is seeking \$100,000 to provide intensive case management primarily to families with children. The goal of this prevention effort is to reduce the homeless population in Monroe County and to assist in providing self-sufficiency and stable employment. Case management will be available to the entire County based on eligibility. Case managers will be geographically placed in Key West and Marathon to serve the neighboring communities.

The Florida Keys is best known as a Tropical Paradise touted for its natural resources – coral reefs, beaches, fishing and relaxed lifestyle. The primary industry, tourism, attracts artists and writers, individuals and families that enjoy this tranquil way of life and high living standards. This is the picture-perfect image that is portrayed, however, behind the scenes tourism employs low-income, undereducated individuals who are living paycheck-to-paycheck. Their income is dependent upon on its tourism. To complicate matters further, when hurricanes hit the Keys, hotels, restaurants and other attractions are boarded up or evacuated and many lose income temporarily or altogether making it nearly impossible to afford housing and the high cost of living in the Florida Keys. Each hurricane that hits has a tremendous economic impact on the businesses losing millions per hurricane in rebuilding costs and lost incomes. With no federal aid or private insurances covering these losses, they remain unrecoverable. *(Two hurricanes hit the Florida Keys, Katrina and Rita, while writing this proposal causing an undetermined economic impact from each,)*

Possibly more compelling are our economic inequities forcing lifelong, hard working residents of the Keys into homelessness after no longer affording to maintain residence in the Keys simply because the cost of living continues to soar above fixed benefits and wages. The Monroe County Per Capita Income (2003) was \$35,423. The Average Property Sales, Keys-wide (2003) was \$424,000 (Key West Chamber of Commerce Demographics).

A lack of affordable housing and the limited scale of housing assistance programs are the primary causes of homelessness according to the National Coalition for Homeless. In Florida, the causes of homelessness are divided into three major categories: 1) lack of affordable housing, 2) lack of adequate income, and 3) lack of needed services and treatment. This “Housing Market Failure” has gained national attention but yet no resources are allocated to address the direct issues experienced by nearly destitute citizens.

Understanding the inequities present throughout Monroe County, Catholic Charities has designed an intensive case management program to prevent further homelessness throughout the Florida Keys. The Program will include hiring a case manager to spearhead the intensive case management coordination from the Lower Keys to the Upper Keys utilizing local churches and community centers as outreach locations. Case management will be provided to families facing a threat of homelessness. This project will provide emergency services in the form of food vouchers, rental assistance or utility bills to prevent evictions and foreclosures. This Homeless Prevention Program will be provided within Key West, Big Pine, Marathon, Tavernier and Key Largo to approximately 500 individuals.

The primary causes for homelessness are poverty and lack of affordable housing. In Monroe County, the housing rates are one of the highest in the nation. With a depressed economy, many formerly employed in the tourist and service industry have lost their employment or are considered underemployed and have been uprooted from housing causing an increase in homeless families and a new phenomena, "the Working Homeless."

The Southernmost Homeless Coalition conducted a point-in-time count of homeless individuals in **January 2005** with the following results. Of the 981 total homeless in Monroe County, Florida, eighty-two are children (8.4% of the total homeless population). These children, also counted with at least 1 adult family member, are without benefit of permanent shelter. Furthermore, this number is most likely underreported, as this physical count does not take into account the numerous homeless in transition throughout the island or living in abandoned homes and boats, as well as cars. The count also identified 59 families. Five Hundred and twenty-five adults reported that they had only been homeless 1 time in the previous 3 years and at the time of the survey, 231 adults reported that they had only been homeless for a week or less. This data suggests that there is a growing number of single parent families that are becoming newly homeless. Our experience in the Keys tells us that only 10% of persons who are losing fixed regular housing, actually have family supports in or out of the Keys available to assist financially or to provide shelter after an eviction.

Catholic Charities is proud to be a member in good standing of the Southernmost Homeless Assistance League (SHAL), which is our lead agency for our county's Homeless Continuum of Care. Throughout our Ten Year Plan to End Homelessness and Continuum of Care is the philosophy that the elimination of homelessness requires a comprehensive approach that includes prevention and transition support activities rather than merely housing individuals with no services provided. Monroe County is in a non-entitlement/non direct formula community; **The Florida Keys are in the prioritized non-formula, HUD jurisdiction.** This County does not have access to local ESG funds.

Presently, Monroe County has limited social services in place to make concessions for the working poor. Being poor can mean that an individual or the head of a household has an illness, an accident, or a paycheck away from homelessness. Often times, difficult choices must be made when limited resources cover only some of the basic necessities.

Frequently housing, which absorbs the highest proportion of income is given up.

Factors contributing to homelessness include:

- Rising housing rates, expensive housing
- Low wages
- Seasonal work, no benefits
- Working poor live paycheck-to paycheck
- No infrastructure or concessions for middle income & poor
- Limited homeless prevention programs

Families with children are among the fastest growing segments of the homeless population. In 2002, families composed 41% of the urban homeless population, an increase of 5% in just two years (U.S. Conference of Mayors, 2002).

Catholic Charities in Monroe County has executed 3 prior contracts for ESG services, to continue providing shelter and transitional housing services to intact families. The philosophy is to provide the highest level of support to enable families to maintain and enhance their existing strengths to effectively transition as a complete unit and to assist the most vulnerable individuals to acquire self-sufficiency.

5.4 RESPONSE TO RFP MANDATORY REQUIREMENTS

5.4. RESPONSE TO RFP MANDATORY REQUIREMENTS

The following are mandatory requirements for the RFP that are described as "Fatal Criteria" on the RFP Rating Sheet (Section 6.3 of this RFP). Failure to comply with all mandatory requirements will render a proposal non-responsive and ineligible for further evaluation.

5.4.1 Was the proposal received by the time, date and at the location specified in the Request for Proposal?

Yes.

5.4.2 Did the proposal include the signed Acceptance of Contract Terms and Conditions indicating that the vendor agrees to all department requirements, terms and conditions in the Request for Proposal and in the department's Standard Contract (Appendix 6 a.)?

Yes, see attached.

5.4.3 Did the proposal contain the signed Statement of No Involvement form (Appendix 6 b.)?

Yes, see attached.

5.4.4 Did the proposal contain the signed Proof of Signature Authority form (Appendix 6 c.)? *Yes, see attached.*

5.4.5 Did the proposal contain the signed Conflict of Interest (Non-Collusion) Statement form (Appendix 6 d.)? *Yes, see attached.*

5.4.6 Did the proposal contain the signed Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Contracts/subcontracts (Appendix 7)? *Yes, see attached.*

5.4.7 Did the proposal contain the signed Certification Regarding Lobbying (Appendix 8)?

Yes, see attached.

5.5. DESCRIPTION OF APPROACH TO PERFORMING TASKS REQUIRED BY SECTION 3.9

5.5.1. Submit all applicable, written certifications, assurances and acknowledgements (completed, signed and dated) required by federal and state regulations governing the Federal ESG Program (see Section 5.8 and refer to Appendices 5-12). *See attached.*

5.5.2. Present vendor profile information specified in section 5.2 for the Title Page and all other

information as outlined in sections 5.1 through 5.4 of this RFP. *See attached.*

5.5.3. Catholic Charities - Monroe Division has received three previous ESG grants: State of FL Federal **ESG # KF086** for \$ 156,762 from 11/21/02 to 12/31/03 for renovation, operations, and essential support services.

State of FL Federal **ESG #KF100** for \$100,000.00 from 1/01/04 to 12/31/04 for the operation of the St. Frances and Teresa Houses as well as essential support services.

State of FL Federal **ESG #KF109** for \$100,000.00 from 2/21/05 to 1/31/06 for the operation of the St. Frances and Teresa Houses as well as essential support services.

5.5.4. Submit proof of incorporation as a not for profit corporation from the Department of State, Articles of Incorporation as a not for profit corporation under Chapter 617, Florida Statutes, and written confirmation of tax exempt status as a not for profit organization, 501(c)(3), from the Internal Revenue Service.

See attached.

5.5.5. On the forms contained in Appendices 4A through 4C, submit a line item budget of Federal ESG funds. The budget shall specify proposed federal expenditures, corresponding applicant match, and the specific source of the match. **Match must be available during the grant period in order to be counted on the application.** Match must be, at a minimum, equal to the total ESG funds being requested. The vendor must indicate whether a matching contribution is currently available (committed to the vendor) or is anticipated based on the history of an ongoing source (e.g. number of volunteer hours based on number of hours in the preceding year(s).

See attached line item budget.

Appendix 4A

Appendix 4B

Appendix 4C

5.5.6. Describe in detail the vendor's full array of services to include, the vendor's philosophy and approach to service provision, eligibility criteria, the target population(s) served (for example, general population, families with children, etc). In detail describe the extent to landlord mediation as well as collaboration with other service entities to address a comprehensive range of client needs. (See definition in Section 1.4.6 for a more detailed description of integrated case management). Include an overall statement indicating how each component of the proposed project will benefit the clients, and how the vendor has taken/will take steps to ensure quality of work performed. Prevention detailed description of integrated case management). Include an overall statement indicating how each component of the proposed project will benefit the clients, and how the vendor has taken/will take steps to ensure quality of work performed.

Catholic Charities' efforts to aid the homeless. Catholic Charities has been committed to providing social services to the most vulnerable persons within South Florida for more than 70 years. In Monroe County and specifically in the Lower Keys, Emergency Services has provided homeless prevention services for more than three years through its Key West office by providing rental assistance, utility assistance, clothing, food, transportation for family re-unification, prescription medication assistance, information, referral, furniture, and vouchers to individuals and families facing eviction or imminent homelessness.

The Agency is committed to providing homeless prevention services focusing primarily on families with children and to the most needy individuals residing within Monroe County by providing intensive case management and the distribution of Emergency Funds to those facing immediate eviction.

Integrated case management and emergency services will be provided throughout Monroe County by hiring a case manager geographically located in the Middle Keys and utilizing an existing case manager in Key West. Catholic Charities is expanding their scope of services to provide emergency services to the Middle and Upper Keys by hiring a new case manager to provide essential services to the areas surrounding and including Big Pine Key, Tavernier and Marathon along with a volunteer case manager. Outreach will be conducted at partner agencies, within the faith-based community – within churches and other local religious institutions, and from referrals from CBOs and government agencies.

Case managers will intervene with landlords to provide mediation and work to create payback options in an effort to avoid evictions. Landlord mediation will be treated in a proactive manner to maintain housing for families and to keep the families intact. Limited legal services to represent individuals in legal action will be retained if all other methods without cost have been exhausted.

The Homeless Prevention Program will provide eligible families and individuals with outreach services by working closely with collaborating partners throughout the Keys. Once the clients have completed the intake process and determined eligible to receive services, the case manager will refer the family to CBOs and other service providers to obtain food vouchers, access to food pantries, clothing and other basic needs. Once these basic needs have been received, case managers will identify the client's most pressing financial needs.

Eligibility Criteria- Catholic Charities will provide emergency assistance to any eligible individual or family who experience an inability to make required payments due to a reduction in income. These are persons who experience extenuating circumstances: unexpected life or relationship changes, job lay-offs, company downsizing, and long-term illness are a few of the reasons that cause families to be on the brink of eviction or to lose their homes as well as utility services.

There must be a reasonable prospect that the individual or family will be able to resume payments within a reasonable period of time. The assistance provided by Catholic Charities will not supplant funding for pre-existing homeless prevention activities from other sources.

To ensure these guidelines are being met, Catholic Charities requires verification of need, income, identification, and other relevant conditions (e.g., illness causing temporary unemployment, court eviction, and utilities final notice). Clients requesting services must be able to develop a plan to substantiate ability to support him/herself in the independent living situation and to meet all needs. For the assistance other than financial (as mentioned in the previous paragraphs) there are no restrictions for the service access.

Case management will provide referral to additional emergency service resources that may assist with additional needs such as prescription, food and baby needs. No funds under this grant proposal will be used for housing or direct services to homeless persons, direct payments to individuals, long-term assistance beyond several months or application for federal funds.

Additionally, once the families and individuals have been identified as needing homeless prevention services, the case manager will create an individualized case plan. Once the plan has been created, the clients will be referred to outside services as needed and will determine what the clients needs are. If a client faces eviction, arrangements will be made to provide one month rent or utility service to ensure that the client and his/her family avoid becoming homeless.

Quality Assurance of work performed for this program will follow the National COA standards. These strict guidelines will enable the clients to receive the highest level of service by the most qualified staff. Catholic Charities programs are nationally accredited by the Council on Accreditation of Services for Families and Children (COA).

Furthermore, we provide case management and refer clients to appropriate social service and government agencies for further assistance. We are operating an emergency shelter for men, which opened June 30, 2003 and a transitional shelter for families with children, which opened June 1, 2001.

5.5.7. Provide copies of **adopted** policies and procedures for evaluating the success of the intervention in maintaining housing for the assisted family/individual, will receive priority consideration. It should be clear from the documentation that the policies and procedures have been adopted. If it is unclear whether or not the documents have been adopted, the evaluators will assume that they have not. Evidence that that policies and procedures have been adopted include such things as minutes from meetings indicating a vote on the policies/procedures provided.

See attached adopted policies and procedures.

5.5.8. The vendor should include HMIS data to support its demonstrated capacity to keep clients housed. Data should clearly reflect the percentage and numbers of clients over the previous twelve (12) months who remained housed at three (3), six (6), and twelve (12) month checkpoints. If the vendor does not provide this data, a complete explanation of why the data was not provided must be included.

See attached Audit Reports Records

Monroe County is currently piloting the DOMUS system for HMIS. Catholic Charities, ADM Monroe is one of the three agencies piloting this system. This is the maximum level of participation achieved for our Continuum. We have also formally agreed to continued participation.

5.5.9. Indicate the extent to which the applicant has leveraged local funding. Applicants should include the percentage of the leverage that is comprised of local cash.

100 percent (\$100,00.00) of the local funding will be leveraged to match the requested funds. Matched funding will come directly from the Archdiocese of Miami, County funds and in-kind/volunteer hours. Thirty-five percent cash match is expected.

Appendix 4A

Appendix 4C

5.5.10. In narrative form, describe who in the community has been involved in providing input or comments to this proposal, and how those entities/individuals identified were involved.

Catholic Charities is committed to providing the most comprehensive services to the most vulnerable individuals and families to the communities it serves. In order to identify the priorities of the community, clients, collaborators, and community leaders are involved in the planning process. Furthermore, the Quality Assurance and Compliance Team were created to ensure that each client receives the high quality standards of service that he/she deserves. This Department analyzes each Division and its communities' need to determine the most needed and appropriate services to provide within the community. The division director works closely with the community and is an active member in the Southernmost Homeless Assistance League and the County Continuum of Care. As a board member, the Director participates in the annual planning to determine the GAPS analysis, which assists in evaluating the community's most pressing needs.

The director requests feedback and input directly from the community and its individual clients to create homeless prevention services within the County. The director also works closely with city and county government, including the Monroe County Sheriff's Office to assist in planning the best methods to prevent homelessness. The Agency has its own tactical planning committee comprised of division directors and officers to plan and evaluate the program's progress. Additionally, an advisory council for the Upper Keys and the Lower Keys meet quarterly to assist in assessing unmet needs and determining program direction.

Members of SHAL and other participating CBOs, churches and religious institutions have been involved in providing input and recommendations to creating this proposal. Additionally, Catholic Charities' Monroe County Advisory Board has been instrumental in devising the blueprints for providing homeless prevention services, homeless housing services, as well as intensive case management and all social service programs provided within the County.

Catholic Charities – Monroe will enlist all other members of SHAL, CC Upper Keys Advisory Council. Monroe County Social Services, Referrals Higher Love Mission Outreach in Marathon, Salvation Army, One Stop Career Center, Glad Tidings Tabernacle Assembly of God, Florida Department of Children and Families in Key West, Key West Housing Authority, Florida Keys Outreach Coalition, Red Cross of America participating clinics, local churches and other religious organizations to participate in providing referral and direct services to prevent homelessness.

Monroe County stakeholders participating in the Continuum of Care are involved in the

planning of our ongoing and proposed services. The same stakeholders attend the quarterly Homeless Summits. Client Satisfaction Surveys are given to all clients receiving services. Responses and input from the surveys are shared at the annual stakeholders meeting. From their feedback, the Agency determines when modifications or changes should be implemented to provide the highest level of service to the community. Input has been requested and received from the major decision makers and participants when setting up priorities.

5.5.11. Attach a letter of certification from the continuum of care (CoC) lead agency, certifying that the project is consistent with and furthers the implementation of the 2005 CoC plan. The letter should include the level of priority that the continuum of care has placed on the project **as evidenced by** official action taken (e.g. vote) by the continuum's governing body, after adequate public notice and opportunity for input on the setting of priorities was given to the entire continuum and other stakeholders. The letter should also identify the extent to which the vendor is an active participant in the CoC planning process and the extent to which the vendor is actively participating in the HMIS. Along with the letter of certification, the vendor should include documentation from the 2005 HUD continuum of care plan Exhibit 1 indicating that the project is specifically requested for ESG funding consideration.

The Annual Continuum of Care Gaps and Needs Analysis has placed a high priority on both prevention services and case management to enhance the quality of prevention services. Resources available to the middle and upper Keys have been minimal at best and the population has been effectively underserved. This needs assessment is developed based on multiple public meetings in which participants stressed the need for additional prevention funding and services provided by case managers.

See attached CoC certification letter

See Exhibit 1 indicating our project

5.5.12. The vendor's proposal must include information to support the vendor's ability to implement the proposed services within the proposed time frames. Include a timeline for providing the services along with information such as staffing plans, operating plans or other information the vendor feels will assist evaluators in their review. Indicate whether the vendor is currently providing the service(s) or if some/all of the activities proposed are currently under way. Indicate whether the vendor will have to hire staff or whether staff is already working in the proposed capacity. Complete all items in the Administrative Assessment of Potential Providers Checklist (Appendix 10) and provide additional information regarding any "No" or "Other" responses.

Upon notification of award funding, Catholic Charities will begin the recruiting process to hire a qualified and experienced case manager. Once the contract has been duly executed, the Agency will begin to provide case management services immediately from the current case manager until a new case manager has been hired and has completed training.

Catholic Charities is immediately available to provide services at the commencement of a contract. We are ready to begin expending funds as soon as they are awarded. We currently possess adequate resources as evidenced by our \$100,000 match. 100% match will be made by the Agency. The Staff is employed and a new contract would not disrupt services or current staffing plans. The project timeline for completion under this proposal is 365 days from the execution of the contract.

The current case manager provides social service referrals and case management to economically disadvantaged families and individuals in the Lower Keys and Key West. However, funds are not available to provide homeless prevention to the thousands of families in need. A new case manager will be hired and will operate from Marathon and the Upper Keys to provide emergency assistance to eligible families in the surrounding Keys. With ESG funding available, both case managers will have the resources to provide homeless prevention services throughout Monroe County to up to 500 individuals throughout the Keys.

Administrative Assessment: All responses are yes, with one exception 6.f. Cash receipts from accounts receivable or other sources are not mixed with petty cash funds. According to general internal controls' policies and procedures, accounts received and cash receipts are treated and accounted for separately.

5.6. DESCRIPTION OF STAFFING AND ORGANIZATIONAL CAPACITY REQUIRED BY SECTIONS 3.11 AND 3.12

The prospective vendor's proposal must include a completed Administrative Assessment of Potential Providers Checklist and return it with the response to the RFP (see Appendix 10). The successful vendor shall maintain an adequate administrative organizational structure and support staff sufficient to discharge its contractual responsibilities. If existing programs and/or staff are not sufficient to fulfill the required elements of this RFP, each vendor must include a plan to make adjustments to fulfill such requirements. Minimum professional qualifications for homelessness *See attached Administrative Assessment, Appendix 10.*

Catholic Charities of the Archdiocese of Miami (Catholic Charities) is the largest and most comprehensive social service provider in South Florida. The Agency has in place the administrative organizational structure and support staff sufficient to implement and carry out local, state and federal contractual responsibilities. Our cadre of professional social workers screen clients for eligibility for the **60** programs we offer as well as available programs provided by other nonprofit organizations and government agencies.

Additionally, Catholic Charities is reviewed both fiscally and programmatically by its federal, state and county funders. Every four years the Council On Accreditation of Services for Families and Children, Inc. (COA) reviews the agency for adherence to its accreditation standards. The COA review process includes a comprehensive review of reports and supporting documentation, followed by a two-week monitoring visit by a panel of experts trained and certified in those standards. Catholic Charities' last reaccreditation was in 2003. Catholic Charities programs are nationally accredited by the Council on Accreditation of Services for Families and Children (COA).

All services provided are governed by the policies and procedures of Catholic Charities under the governance of the Council on Accreditation. Our services and mission are consistent with the Continuum of Care and Ten Year plan to end Homelessness, as well as Monroe County's mission to reduce the numbers of homeless by eliminating the episode of homelessness. Prevention services will assist those most **vulnerable** to

becoming homeless by assisting families and individuals in attaining regular fixed residences and ultimately, self-sufficiency.

To provide even more cost efficiency in delivering case management, the Agency will utilize the services of a volunteer case manager who will assist the case manager in Marathon and Tavernier in providing intensive case management.

The onsite administrative personnel boasts nearly 50 years of social service experience collectively. The Division Director has a Masters Degree in Counseling and Rehabilitation and has worked with the presenting clinical and social dynamics of mental illness, substance abuse, adjustment, developmental disability and poverty issues that accompany our chosen population of homeless men, women and children for more than 22 years.

The program coordinator has a bachelor's degree in criminal justice and is experienced in intense social work principals as they relate to our population as well. Our onsite Counselor is a Certified Addictions Professional Associate with professional and educational experience as well as the life experience of being homeless.

On the Executive level, both our Chief Operating Officer and Chief Executive Officer are PhD level professionals with many years of cumulative experience in non-profit social service management.

Catholic Charities of the
Archdiocese of Miami, Inc.

**Continuous Quality Improvement Plan
Fiscal Year 2005-2006**

Mission

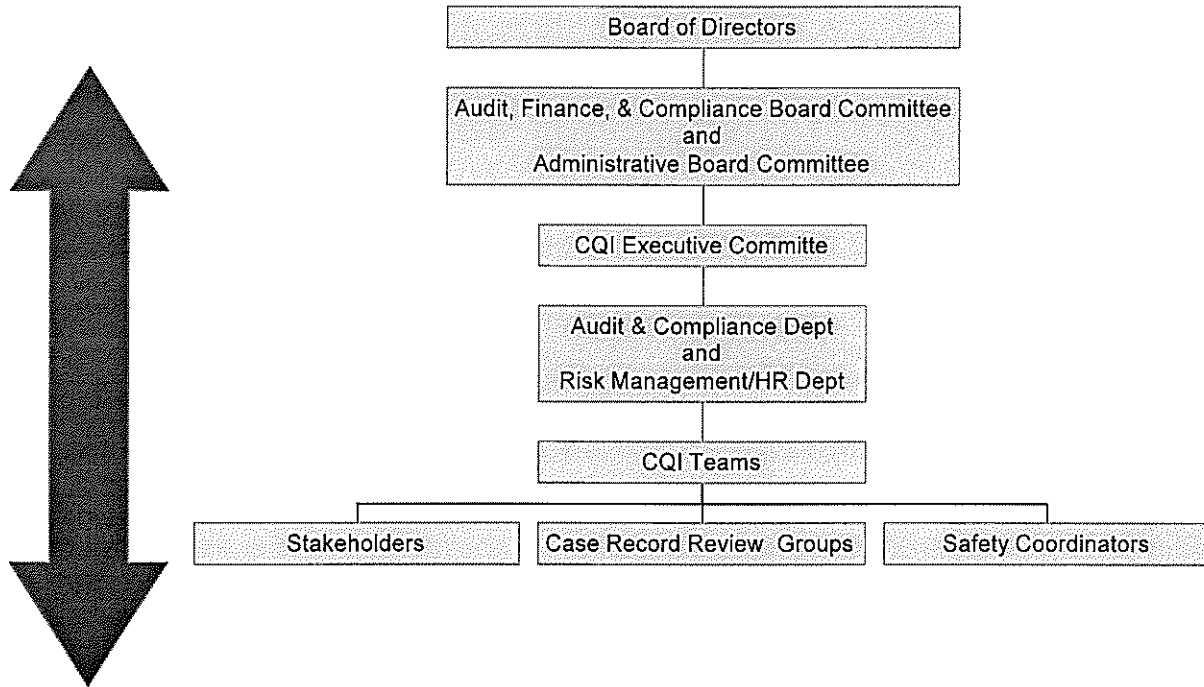
Catholic Charities is committed to meet the ever-changing needs of vulnerable families and individuals of regardless of race, religion and ethnicity in the communities of Broward, Dade and Monroe counties. Moreover, Catholic Charities holds itself accountable to its consumers, accreditors, funding sources, and the general public. Our mission statement, "To honor god by; enhancing human life and dignity, supporting individuals and families, building communities, and working for justice", guides our everyday work and our long term planning.

Catholic Charities maintains a comprehensive view of quality improvement for all of its services including administrative functions. We have a planned approach to quality improvement and assess multiple sources of information for the quality of individual services. The Agency 1) systematically plans for and evaluates program effectiveness and efficiency of services provided, 2) monitors whether services meet pre-determined expectations of quality and outcomes and 3) corrects any deficiencies identified through the quality improvement process.

Continuous Quality Improvement (CQI) Process

Central to the quality improvement process are the 25 CQI Teams, bi annual consumer satisfaction surveys, Stakeholder Taskforce meetings, the annual stakeholder survey, and active exchange of communication in the agency CQI process. The CQI Teams were formed to involve all levels of staff and volunteers in the quality improvement process. All group focus programs hold a stakeholder taskforce meeting at least annually so that consumers of service and other stakeholders have the opportunity to participate in the quality improvement process.

At one end of the CQI process we have the consumers and program level staff and at the other end the Board of Directors. The following organizational structure of the CQI process is dependent upon a continuous flow of communication.



Scope of CQI Process

The range of assessment activities that the CQI Teams perform include a quarterly review of:

- grievances
- staff credentials
- licensing
- incident reports
- outcome measures
- external monitoring reports
- the work environment including safety and infectious disease control
- case record review results
- consumer satisfaction survey results (1st and 3rd quarter only)
- consumer information system (SAM)
- consumer demographic information including Limited English Proficiency
- stakeholder taskforce and survey results
- policies and procedures
- comments from the previous quarter's CQI team report

- correction action plans for any area notes as out of compliance
- new/expired/renewed funding contract requirements

All assessment activities are documented in the quarterly CQI and Risk Management Reports. Each CQI Team reports on all of their contract required outcomes via the Quality Indicator (QI) form and Outcome Measure Worksheet (section G of CQI Report). Outcomes information is updated using the QI form by the CQI team when outcomes are first initiated, when they change or when contract term renews. QI forms are updated at a minimum each new fiscal year. These outcome measures include mandatory indicators that are required by the program's funding sources, Council on Accreditation (COA) and other measures that are generated through the CQI Teams.

Case Record Review

Four case record review meetings are held per month at the Central Office. All programs are represented at these meetings and each group is broken down by service standard. No supervisor performs Case Record Review on any file that they supervise and representatives do not perform Case Record Review on a file that is their assigned case. The main task for meeting participants is to review the file contents to determine if the assessed problem(s), the service plan and the progress notes are congruous. In addition, they assess the appropriateness and effectiveness of the service(s) provided to the persons served. This is done via the Case Record Review Tool and Corrective Action Form.

Each participant brings 3 randomly chosen consumer files, or an amount specified by the Director of CQI, with them to exchange with one of their peers for review and discussion. These randomly selected files include, open files (for at least 30 days), high-risk files, and closed files (for at least 30 days and not closed longer than 6 months). The number of files to be reviewed annually by each program are determined following COA Case Record Review guidelines (standard G2.6); at a minimum each service standard will review 10% of cases served annually (fiscal year 2005-2006) ensuring cases are reviewed from each program site location. The components that are reviewed include but are not limited to:

- Intake (including SAM identification number)
- Rights and Responsibilities Statement
- Consent to service/treatment
- Authorization for Release of information (as applicable)
- Grievance procedure
- Limited English Proficiency Notice (as applicable)
- Notice of Privacy Practice (HIPAA)
- Signed fee agreement, (as applicable)
- Assessment (as applicable)
- Service/Treatment Plan

Approved by Board of Directors 9/21/05

- Service Plan Review (every 90 days or as required by the relevant COA Service Standard and/or funding source)
- Up-to-date signed progress notes that address the service plan goals and objectives
- Referral Forms w/ follow-up (as applicable)
- Aftercare plan (as applicable)
- Closing Summary form
- Follow-up to Aftercare Plan (as applicable)

Any items identified during the Case Record Review process as out of compliance require the completion of a Corrective Action Plan. Corrective Action Plans are given to the responsible staff member to complete and is signed by the Program Administrator upon completion. The signed and completed Corrective Action Plans are handed in to the Audit & Compliance department within 30 calendar days from the date issued. All completed Case Record Review Tools and Corrective Action Plans are inputted into the Case Record Review database and aggregated, quarterly Case Record Review Aggregate reports are produced and shared and reviewed by with the CQI teams, Executive CQI Committee, Audit & Compliance Board Committee and the general Board of Directors.

Supervisory Review

Although all the components of the CQI Plan are important, the heart of quality improvement is in regular supervisory review. Each Supervisor in the Agency is responsible for regular monitoring of all consumer case records. The Program Administrator is ultimately responsible to direct, oversee and support their Supervisors in the review process. The Supervisor or his/her designee regularly review consumer files to ensure quality of care and compliance with COA standards and funding source requirements. The percent to be reviewed each quarter will be dependent upon the volume of cases and the need at each individual program. This monitoring includes all the items listed in but is not limited to the following components:

- Intake (including data entry into the SAM database)
- Rights and Responsibilities Statement
- Consent to service
- Authorization for Release of Information (as applicable)
- Grievance Procedure
- Notice of Privacy Practice
- Limited English Proficiency Notice (as applicable)
- Signed fee agreement (as applicable)
- Psychosocial and/or other assessment(s)
- Service Plan
- Service Plan Review (every 90 days or as required by the relevant COA Service Standard)
- Up-to-date signed progress notes reflecting the service plan goals and objectives
- Referral Forms and follow-up (as applicable)

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- Aftercare plan (as applicable)
- Closing Summary form
- Follow-up to aftercare (as applicable)
- Closing case in SAM database
- Other funding source requirements

Monitoring shall be evidenced by the Supervisor's signature on all completed Case Record Review Corrective Action Forms, initial service plans, service plan review and aftercare plans. In addition, programs that are clinical in nature file the documentation from regular case presentations, consultations and team staffing meetings. The Supervisor will implement corrective action with their staff as needed to ensure quality of care.

Planning and Program Evaluation

Tactical Planning

The CQI Teams are actively involved in annual program evaluation, tactical planning and strategic planning processes. The CQI Teams initiate a program evaluation and tactical planning process in May each year as they prepare for budget presentation hearings. This process establishes short-term objectives which support the achievement of the organization's mission, strategic plan and which allows us to respond to changing needs of the people we serve and adapt to funding source changes.

During the final CQI team meeting of the fiscal year, all CQI Teams evaluate their program based on their success in achieving the previous year's objectives and discuss strengths and opportunities for growth and development. Then, they determine a new set of objectives based on this evaluation, which includes the end of the year outcome data, consumer satisfaction survey results, target population needs, program fee analysis (as applicable), program coverage and service delivery data.

The Human Resources department also participates in the tactical planning process by the annual review of utilization of personnel, retention analysis and the distribution and analysis of personnel satisfaction surveys. The Finance Department undergoes an annual budget planning process and program fee analysis that includes participation of all Division Directors to review budgetary objectives. Semi-annually there is a unit cost analysis conducted by the Division Directors for all of the programs under their supervision. All other central office departments also participate in this process and develop a tactical plan for the new fiscal year.

All tactical plans are sent to the COO for review and approval. They are then presented at the first Audit, Finance, & Compliance Board Committee meeting for the new fiscal year and are subsequently presented to the Board of Directors.

Strategic Planning

Every four years Catholic Charities and its' Board conduct an organizational review and develop a strategic plan for long-term visionary purposes in which longer-term goals for the overall continual improvement of the organization's operations and service outcomes are established. The objectives of the organizational review for use in strategic planning are to:

- Clarify the mission and mandate.
- Examine the goals and objectives that flow from the mission and mandated responsibilities.
- Assess the strengths and weaknesses of the organization as it attempts to fulfill its' mission.
- Identify and formulate strategies to deal with both long-term and strategic issues facing the organization.

The organization-wide review also includes the assessment of:

- The degree to which services are needed by the people served.
- The existence of other agencies in the community who provide the same service.
- Gaps in services needed by the defined community.
- Factors indicating a need for redirection, elimination, and/or expansion of services.
- Analysis of data collected to determine our responsiveness to community needs and future directions.

The organizational review begins at the program level by the CQI Teams. Each Team reviews their program evaluations and tactical plans for the past three years. As a team they identify trends and patterns depicted by this data and determine if there are any gaps in service. The Human Resources department reviews job descriptions and selection criteria as part of the organizational review.

The Finance Department undergoes a review of the budget planning process and program fee analysis that includes participation of all Division Directors to review budgetary objectives for the past three years. In addition, there is a review of unit cost analysis conducted by the Division Directors for all of the programs under their supervision. The Executive CQI Committee reviews these results in conjunction with three years of aggregated program data. Then a strategic plan is drafted by senior management for Board approval.

Consumer Information System (SAM)

Catholic Charities defines, systematically obtains, and maintains data and analysis systems in order to evaluate organizational performance, improve its services and operations, and identify the developing needs of consumers. Data are analyzed on a regular basis to support organization-wide planning and remediation related to:

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- Timeliness and accuracy of data entered
- Number of consumers served
- Service provision.
- Operational performance.

Data are obtained and analyzed that describe:

- Demographics of present and past consumers
- Services provided
- Consumers who terminate service.

Roles and Responsibilities

It is the responsibility of the CQI Teams to continually assess the needs of their programs and to improve the quality of service delivery.

Each CQI Program Team:

- Assess and monitor CQI activities on an ongoing basis.
- Hold a minimum of one quarterly CQI Team meeting.
- Keep meeting minutes & sign in sheets for all meetings, staff trainings and supervisory activities.
- Generate a quarterly CQI and Risk Management Report.
- Input all required data onto the SAM System in a timely fashion.
- Participate in the annual program evaluation process (tactical planning).
- Participate in Case Record Review
- Review quarterly CQI Aggregate Reports including, but not limited to, Consumer Satisfaction Survey Results, Outcome Measures, External Monitoring Reports, and Case Record Review
- Updates outcome measure information as needed or at a minimum annually
- Report pertinent CQI results back to stakeholders

The Audit & Compliance Dept are responsible for:

- The coordination and implementation of the CQI Plan.
- To work in conjunction with the CQI Teams to create and maintain outcome measures for each service.
- To oversee the monthly Case Record Review meetings.
- To collect and analyze CQI program data
- Reviewing & Aggregating the CQI Quarterly Report from all CQI teams that includes the Consumer Satisfaction Survey results (1st and 3rd quarters only), Quarterly

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Outcome Measure Results, Quarterly External Monitoring report results and Quarterly Case Record Review results.

- Maintaining CQI Access databases
- Report quarterly CQI Aggregate data back to the CQI teams, Executive CQI Committee, Audit, Compliance & Finance Board Committee, and Board of Directors.

The Director of Human Resources, who serves as the Agency Risk Manager, is responsible for:

- Collecting, analyzing and compiling the quarterly aggregated Risk Management Report that includes a summary of all incident reports and claims, staff credentialing Deficiencies, safety inspections and fire drill results for all programs.
- Report the results of the aggregated Risk Management Report quarterly to the CQI Executive Committee and the Administrative Board Committee and the Board of Directors.
- Maintaining the risk management, staff credential access databases in addition to the Agency's licenses and permits database

The CQI Executive Committee (Division Directors, Department Directors and the Chief Operating Officer):

- Meets on a monthly basis.
- Review the quarterly and annual aggregated Risk Management Reports
- Review annual HR Reports
- Review quarterly and annual CQI Aggregate Reports.
- Discuss new/renewed or expired funding source contracts & requirements
- Discuss program/services/locations to be open, closed or changed
- Discuss program compliance issues, including but not limited to, external monitoring reports from funding sources, regulatory bodies or internal audits
- Review changes to policy and procedure
- Review the strategic plan every four years.
- Review annual program evaluations and tactical plans for each program in their division.
- Review the annual update to the agency's CQI Plan.

The Audit, Finance, & Compliance Committee of the Board of Directors:

- Meets quarterly.
- Reviews the Quarterly CQI Aggregate Reports
- Reviews outcome measures as needed.
- Reviews policies as needed.
- Reviews all relevant tactical plans.
- Participates in the organizational review and strategic planning process every four years.
- Reviews the annual external audit results and ensures the correction of all material breaches, if any.

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- Review the annual update to the CQI Plan.
- Communicates directly with the Board of Directors on all relevant issues.

The Board of Directors will:

- Meet quarterly.
- Approve policies as needed.
- Participates in the organizational review and strategic planning process every four years.
- Formally review the organization's policies every three years
- Reviews summary reports from Committee chairpersons

Corrective Action and Remediation

Any item outlined in the CQI plan that is determined to be out of compliance can be issued a Corrective Action Plan (CAP) by the appropriate supervisory staff. The Corrective Action Plan serves the purpose of identifying the item(s) out of compliance and outline the remediation including target date, staff responsible, and administrative staff responsible. By signing a completed CAP the administrator/director acknowledges the compliance issue noted and ensures the remediation of this item. Corrective Action Plans are turned in to the supervisory staff who issued them within the time specified and are tracked by this staff as part of the CQI process.

Catholic Charities revises policies and/or operational procedures, personnel assignments, training, and conserves and directs organization resources by eliminating gaps and duplications in services. This is done in accordance with recommendations based on annual program evaluations and tactical plans, the data collected via the quarterly CQI Aggregate and Risk Management Reports and the Agency's Strategic Plan.

The CQI Executive Committee reviews the aggregated data gathered by the above data sources and uses it to identify and analyze trends and patterns that emerge through the quality improvement process and for purposes of remediation. As a result, the CQI Executive Committee is fully equipped to determine staff training needs on Agency policies and procedures, Council on Accreditation standards, funding source requirements and other program training needs. Further, the aggregation of this data enables the CQI Executive Committee to evaluate program service deficiencies and to make more informed decisions regarding program development issues. This, in turn, enables the CQI Executive Committee to accurately report on pertinent issues and make recommendation to senior management and the Board committees.

In the comprehensive and ongoing CQI process described in this document Catholic Charities strives to maintains the highest level of quality in service provision and in all its other operational functions. With a working plan to continuously assess, report, and improve while working within CQI teams, Catholic Charities puts into action our three guiding principles of Maximizing our resources, Outcomes, and Telling our story.

Approved by Board of Directors 9/21/05

APPENDIX 4A**PROPOSED APPLICANT BUDGET
BUDGET CATEGORY #1****PROPOSED EXPENDITURES FOR:
HOMELESS PREVENTION SERVICE**

Services to be provided	Amount of federal funds requested	Amount of Applicant Matching Contribution	Source of Applicant Matching Contribution / "C" if committed or "A" if anticipated. (Example: Volunteer hours/A)
Integrated Case Management			
1 Case Manager	\$22,500	\$22,500	Human Services Advisory Bd/A
25% benefits	\$7,500	\$5,500	Shared Asset Forfeiture Fund/C
Prevention Services			
Rental assistance-subsidy, deposit	\$35,000	\$30,000 \$7,000	Volunteer hours/A Donations/A
Utility assistance-subsidy, deposit	\$25,000	\$25,000	Archdiocese of Miami/C
Legal services	\$10,000	\$10,000	Archdiocese of Miami/C
TOTALS:	\$100,000	\$100,000	

APPENDIX 4B

PROPOSED APPLICANT BUDGET BUDGET CATEGORY #2

PROPOSED EXPENDITURES FOR: ADMINISTRATIVE COSTS

The following budget form is to be completed only by local units of government that intend to pass through their grant award to non-profit agencies or Indian tribes, and which intend to claim up to 2.5 percent of the grant amount for administrative costs.

Services to be provided	Amount of federal funds requested	Amount of Applicant Matching Contribution	Source of Applicant Matching Contribution / "C" if committed or "A" if anticipated. (Example: Volunteer hours/A)
NA			
TOTALS:	\$0	\$0	\$0

APPENDIX 4C

PROPOSED APPLICANT BUDGET TOTAL BUDGET

Category of Proposed Expenditures	Amount of federal Funds Requested for Item or Service	Amount of Applicant Matching Contribution	Source of Matching Contribution
1. PREVENTION SERVICES	\$100,000.00	\$100,000.00	Human Services Advisory Bd/A Shared Asset Forfeiture Fund/C Volunteer hours/A Donations/A Archdiocese of Miami/C
2. ADMINISTRATIVE COSTS (completed <u>only</u> if a vendor is a unit of local government who will pass the award to non-profit or Indian tribes)	NA	NA	
3. TOTALS (add lines 1-2)	\$100,000.00	\$100,000.00	

NOTE:

The amount in Line 2 cannot exceed 2.5% of the amount in line 3.

5.5.11

Southernmost Homeless Assistance League

The Monroe County, FL Community Coalition dedicated to the Special Needs of the Homeless

Ms. Bonnie Hazleton
Department of Children and Families
Office on Homelessness
Building 3 Room 327
1317 Winewood Boulevard
Tallahassee, FL 32399-0700

October 11, 2005

Dear Ms. Hazleton,

This letter is to certify that Catholic Charities, of the Archdiocese of Miami is a member in good standing and an active partner in Monroe County's Continuum-of-Care.

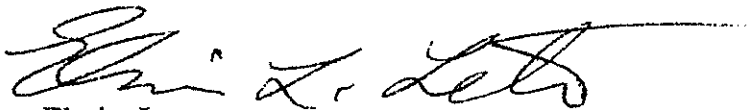
The Catholic Charities, Monroe Emergency Services and Prevention program is consistent with and furthers the implementation of the 2005 CoC Plan and are referenced in Exhibit 1F CoC Service Activity Chart. Maintaining and expanding the current level of Prevention services is a priority in Monroe County.

SHAL fully supports the Catholic Charities application for Emergency Shelter Grant-Prevention funding under RFP 0705KL1.

Catholic Charities is one of the first three CoC members that have already implemented HMIS and are honoring their pledge for ongoing participation.

Please call me with any questions or concerns.

Sincerely,



Elmira Leto
Acting Chairperson

Cc: Michael Perry

Rev. Stephen E. Braddock, Ph.D., Chair
Diana Flenard, Secretary

Elmira Leto, Vice Chair
Joseph Pais, Treasurer

PO Box 2990, Key West, FL 33045-2990

00047



Consumer's Certificate of Exemption

Issued Pursuant to Chapter 212, Florida Statutes

DR-14
R. 01/02

85-8012589026C-B	11/28/2003	11/30/2008	ORGANIZATION
Certificate Number	Effective Date	Expiration Date	

This certifies that

ARCHDIOCESE OF MIAMI INC
CATHOLIC CHARITIES OF THE
9401 BISCAYNE BLVD
MIAMI SHORES FL 33138-2970



is exempt from the payment of Florida sales and use tax on real property rented, transient rental property rented, tangible personal property purchased or rented, or services purchased.



Important Information for Exempt Organizations

DR-14
R. 01/02

1. You must provide all vendors and suppliers with an exemption certificate before making tax-exempt purchases. See Rule 12A-1.039, Florida Administrative Code (FAC).
2. Your *Consumer's Certificate of Exemption* is to be used solely by your organization for your organization's customary nonprofit activities.
3. Purchases made by an individual on behalf of the organization are taxable, even if the individual will be reimbursed by the organization.
4. This exemption applies only to purchases your organization makes. The sale or lease to others by your organization of tangible personal property, sleeping accommodations or other real property is taxable. Your organization must register, and collect and remit sales and use tax on such taxable transactions. Note: Churches are exempt from this requirement except when they are the lessor of real property (Rule 12A-1.070, FAC).
5. It is a criminal offense to fraudulently present this certificate to evade the payment of sales tax. Under no circumstances should this certificate be used for the personal benefit of any individual. Violators will be liable for payment of the sales tax plus a penalty of 200% of the tax, and may be subject to conviction of a third degree felony. Any violation will necessitate the revocation of this certificate.
6. If you have questions regarding your exemption certificate, please contact the Exemption Unit of Central Registration at 850-487-4130. The mailing address is 5050 West Tennessee Street, Tallahassee, FL 32399-0100.

Post-it® Fax Note

7671

Date	10/13/05	# of pages	11
From	100001		

U.S. Catholic Bishops - Office of General Counsel

Page 1 of 2

U.S. Catholic Bishops - Office of General Counsel

Page 2 of 2

National Revenue Service
District Director

Date: June 6, 2002

Ms. Patricia Desingue
Associate General Counsel
United States Conference
of Catholic Bishops
3311 4th Street, N.E.
Washington, D.C. 20010-1194

Department of the Treasury

P. O. Box 2308
Washington, DC 20501

Person to Contact:
Hymie Huber 811-0776
Telephone Number:
877-839-5500
FAX Number:
517-263-2756

Dear Ms. Desingue:

In a ruling dated March 25, 1986, we held that the agencies and instrumentalities and all educational, charitable and religious institutions operated, supervised, or controlled by or in connection with the Roman Catholic Church in the United States, its territories or possessions appearing in the Official Catholic Directory 1986, are entitled to exemption from federal income tax under the provisions of section 501(c)(3) of the Internal Revenue Code of 1954, which corresponds to section 501(c)(13) of the 1986 Code. This ruling has been updated annually to cover the activities added to or deleted from the Directory.

The Official Catholic Directory for 2002 shows the names and addresses of all agencies and instrumentalities and all educational, charitable, and religious institutions operated by the Roman Catholic Church in the United States, its territories and possessions in existence at the time the Directory was published. It is understood that each of these is a non-profit organization, that no part of the net earnings thereof inure to the benefit of any individual, that no substantial part of their activities is for promotion of legislation, and that none are private foundations under section 509(a) of the Code.

Based on all information submitted, we conclude that the agencies and instrumentalities and educational, charitable, and religious institutions operated, supervised, or controlled by or in connection with the Roman Catholic Church in the United States, its territories or possessions appearing in the Official Catholic Directory for 2002 are exempt from federal income tax under section 501(c)(3) of the Code.

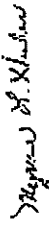
Donors may deduct contributions to the agencies, instrumentalities and institutions referred to above, as provided by section 170 of the Code, including, legacies, bequests, transfers or gifts to them or for their use are deductible for federal estate and gift tax purposes under sections 1055, 2106, and 2512 of the Code.

Beginning January 1, 1994, unless specifically exempted, you and your subsidiaries must pay tax under the Federal Insurance Contributions Act (Social Security taxes) for each employee who is paid \$100 or more in a calendar year. You and your subsidiaries are not liable for the tax under the Federal Unemployment Tax Act (FUTA).

By May 31, 2002, please send thirteen (13) copies of the Official Catholic Directory for 2002 to the IRS 75/02 in Cincinnati, one copy to the Processing Campus in Ogden, twenty-two (22) copies to the Director, and thirteenth, Delaware; two copies each to the 50 Area Managers in Newark, Brooklyn, Chicago, St. Paul, Atlanta, and Los Angeles, and four copies to the IRS National Headquarters.

The conditions concerning the return of your group exemption as set forth in our previous Determination Letter of August 11, 1986, remain in full force and effect.

Sincerely,

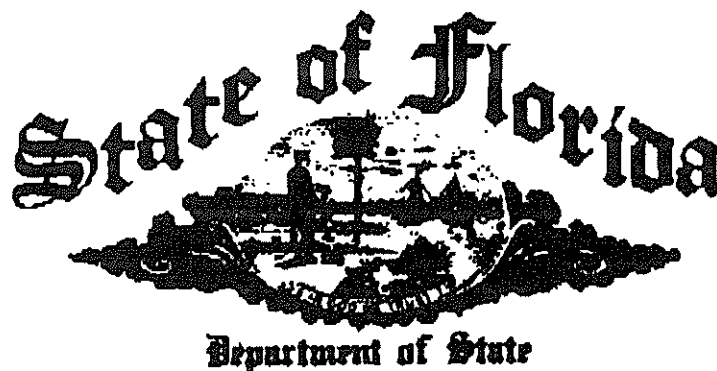


For John U. Richmond, Director, 75/02
Customer Assistance Services

See 18, 2002 Copyright © by United States Conference of Catholic Bishops

Apr. 16. 2006 12:29PM

No. 0007 P. 1



I certify the attached is a true and correct copy of the annual report(s)/uniform business report(s) for the year 2005 for CATHOLIC CHARITIES OF THE ARCHDIOCESE OF MIAMI, INC., a corporation organized under the laws of the State of Florida, as shown by the records of this office.

The document number of this corporation is 713552.

Given under my hand and the
Great Seal of the State of Florida
at Tallahassee, the Capitol, this the
Twelfth day of April, 2005



CR2EC022 (2-03)

Glenda E. Hood
Glenda E. Hood
Secretary of State



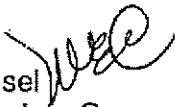
Office of the General Counsel

3211 FOURTH STREET NE • WASHINGTON DC 20017-1194 • 202-541-3300 • FAX 202-541-3337

July 14, 2004

TO: Most Reverend Archbishops and Bishops, Diocesan Attorneys
and State Conference Directors

SUBJECT: 2004 Group Ruling

FROM: Mark E. Chopko, General Counsel 
(Staff: Deirdre Dessingue, Associate General Counsel)

Enclosed is a copy of the Group Ruling issued to the United States Conference of Catholic Bishops on July 1, 2004 by the Internal Revenue Service ("IRS"), with respect to the federal tax status of Catholic organizations listed in the 2004 edition of the Official Catholic Directory ("OCD")^{1/}. As explained in greater detail below, this ruling is important for establishing:

- (1) the exemption of such organizations from:
 - (a) federal income tax;
 - (b) federal unemployment tax (but see ¶15 of "Explanation" below); and
- (2) the deductibility, for federal income, gift and estate tax purposes, of contributions to such organizations.

The 2004 Group Ruling is the latest in a series that began with the original determination of March 25, 1946. In the 1946 document, the Treasury Department affirmed the exemption from federal income tax of all Catholic institutions listed in the OCD for that year. Each year since 1946, in a separate letter, the 1946 ruling has been extended to cover the institutions listed in the current OCD^{2/}. The language of these rulings has remained relatively unchanged, except to reflect intervening modifications in the Internal Revenue Code ("Code"). The 2004 Group Ruling is consistent with the 2003 ruling.

Annual group rulings clarify important tax consequences for Catholic institutions listed in the OCD, and should be retained for ready reference. Rulings from earlier years are important to establish the tax consequences of transactions that occurred during those years.

¹ A copy of the Group Ruling and this memo may be found on the USCCB website at www.usccb.org/ogc.

² Catholic organizations with independent IRS exemption determination letters are listed in the 2004 OCD with an asterisk (*), which is explained at page A-6 and indicates that such organizations are not covered by the Group Ruling.

Responsibilities under Group Ruling. *Diocesan officials* who compile OCD information for transmittal to the OCD publisher *are responsible for the accuracy of such information.* This means that they must ensure that only qualified organizations are listed, that organizations that cease to qualify are deleted promptly, and that qualified newly-created organizations are listed as soon as possible. The current legal and procedural requirements for inclusion in the Group Ruling and OCD, as well as the application form, is available at <http://www.usccb.org/bishops/dfi/exemptionruling.htm>.

EXPLANATION

1. **Exemption from Federal Income Tax.** The latest ruling reaffirms the exemption from federal income tax under section 501(c)(3) of the Code of "the agencies and instrumentalities and educational, charitable, and religious institutions operated, supervised or controlled by or in connection with the Roman Catholic Church in the United States, its territories or possessions appearing in the Official Catholic Directory for 2004" (*with the exception of organizations designated in the OCD with an asterisk and foreign organizations*).

2. **Federal Excise Taxes.** Inclusion in the Group Ruling has no effect on an organization's liability for federal excise taxes. Exemption from these taxes is very limited. Please refer to your attorney any questions you may have about excise taxes.

3. **State/Local Taxes.** Inclusion in the Group Ruling does not automatically establish an organization's exemption from state or local income, sales or property taxes. Typically, separate exemptions must be obtained from the appropriate state or local tax authorities in order to qualify for any applicable exemptions. Please refer to your attorney any questions you may have about state or local tax exemptions.

4. **Deductibility of Contributions.** The Group Ruling assures donors that contributions to the institutions listed in the 2004 OCD and covered by the Group Ruling are deductible for federal income, gift, and estate tax purposes.

5. **Unemployment Tax.** The Group Ruling establishes exemption from *federal* unemployment tax only. Individual states may impose unemployment tax on organizations included in the Group Ruling, even though they are exempt from the federal tax. Please refer to your attorney any questions you may have about state unemployment tax.

6. **Social Security Tax.** All section 501(c)(3) organizations, including churches, are required to pay taxes under the Federal Insurance Contributions Act (FICA) for each employee who is paid \$100 or more in a calendar year.³ Services

³ Section 3121(w) of the Code permits certain church-related organizations to make an irrevocable election to avoid payment of FICA taxes, but only if such organizations are opposed for religious reasons to payment of social security taxes.

performed by diocesan priests in the exercise of their ministry are not considered "employment" for FICA (Social Security) purposes,^{4/} and FICA should not be withheld from their salaries. *For Social Security purposes*, diocesan priests are subject to self-employment tax ("SECA") on their salaries as well as on the value of meals and housing or housing allowances provided to them.^{5/} Neither FICA nor income tax withholding is required on remuneration paid to religious institutes for members who are subject to vows of poverty and obedience and are employed by organizations included in the Official Catholic Directory.^{6/}

7. **Form 990.** All organizations included in the OCD must file Form 990, Return of Organization Exempt from Income Tax, *unless* they are eligible for a mandatory or discretionary exception. ***There is no automatic exemption from the Form 990 filing requirement simply because an organization is listed in the OCD.*** Organizations required to file Form 990 must do so by the 15th day of the fifth month after the close of their fiscal year.^{7/} Among the organizations not required to file Form 990 under section 6033 of the Code are: churches; integrated auxiliaries of churches^{8/}; the exclusively religious activities of religious orders; schools below college level affiliated with a church or operated by a religious order; organizations with gross receipts normally not in excess of \$25,000;^{9/} and certain church-affiliated

⁴ I.R.C. § 3121(b)(8)(A).

⁵ I.R.C. § 1402(a)(8). See also, Compensation of Priests, at <http://www.usccb.org/bishops/dfi/dualtax.htm>.

⁶ Rev. Rul. 77-290, 1977-2 C.B. 26. See also, Compensation of Religious, at <http://www.usccb.org/bishops/dfi/religiouscomp.htm>.

⁷ The penalty for failure to file the Form 990 is \$20 for each day the failure continues, up to a maximum of \$10,000 or 5 percent of the organization's gross receipts, whichever is less. However, organizations with annual gross receipts in excess of \$1 million are subject to penalties of \$100 per day, up to a maximum of \$50,000. I.R.C. § 6652(c)(1)(A).

⁸ I.R.C. § 6033(a)(2)(A)(i); Treas. Reg. § 1.6033-2(h). To qualify as an integrated auxiliary of a church, an organization must be described in section 501(c)(3), qualify as other than a private foundation, be affiliated with a church, and qualify as internally supported. An organization will be considered internally supported unless it both:

- (1) Offers admissions, goods, services, or facilities for sale, other than on an incidental basis, to the general public (except goods, services, or facilities sold at a nominal charge or substantially below cost), and
- (2) normally receives more than 50 percent of its support from a combination of governmental sources; public solicitation of contributions (such as through a community fund drive); and receipts from the sale of admissions, goods, performance of services, or furnishing of facilities in activities that are not unrelated trades or businesses.

⁹ Rev. Proc. 83-23, 1983-1 C.B. 687.

organizations that finance, fund or manage church assets, or maintain church retirement insurance programs, and organizations controlled by religious orders that finance, fund or manage assets used for exclusively religious activities.^{10/}

Organizations that are required to file Form 990 must upon request make a copy of the form and its schedules and attachments (other than contributor lists) available for public inspection during regular business hours at the organization's principal office and at any regional or district offices having three or more employees. Form 990 for a particular year must be made available for a three year period beginning with the due date of the return.^{11/} In addition, organizations that file Form 990 must comply with written or in-person requests for copies of the Form 990. The organization may impose no charge other than a reasonable fee to cover copying and mailing costs. If requested, copies of the Form 990 for the past three years must be provided. In-person requests must be satisfied on the same day. Written requests must be satisfied within 30 days.^{12/}

8. **Revenue Procedure 75-50.** Rev. Proc. 75-50^{13/} sets forth notice, publication, and recordkeeping requirements regarding racially nondiscriminatory policies that must be complied with by private schools, including church-related schools, as a condition of establishing and maintaining exempt status under section 501(c)(3) of the Code. Under Rev. Proc. 75-50 private schools are required to file an annual certification of racial nondiscrimination with the IRS. For private schools not required to file Form 990, the annual certification must be filed on Form 5578, Annual Certification of Racial Nondiscrimination for a Private School Exempt from Federal Income Tax. This form may be obtained from your local IRS office. Form 5578 must be filed by the 15th day of the fifth month following the close of the fiscal year. Form 5578 may be filed individually or by the diocese on behalf of all schools operated under diocesan auspices. The requirements of Rev. Proc. 75-50 remain in effect and must be complied with by all schools listed in the OCD. ***Diocesan or school officials should insure that the requirements of Rev. Proc. 75-50 are met since failure to do so could jeopardize the exempt status of the school***

¹⁰ Rev. Proc. 96-10, 1996-1 C.B. 577.

¹¹ *The penalty for failure to permit public inspection of the Form 990 is \$20 for each day during which such failure continues, up to a maximum of \$10,000. I.R.C. § 6652(c)(1)(C).*

¹² *I.R.C. § 6104(d). Generally, a copy of an organization's exemption application and supporting documents must also be provided on the same basis. However, since Catholic organizations covered under the Group Ruling did not file exemption applications with IRS, nor did USCCB, organizations covered under the Group Ruling should respond to requests for public inspection and written or in-person requests for copies by providing a copy of the page of the current OCD on which they are listed. If a covered organization does not have a copy of the current OCD, it has two weeks within which to make it available for inspection and to comply with in-person requests for copies. Written requests must be satisfied within the general time limits.*

¹³ 1975-2 C.B. 587.

and, in the case of a school operated by a church, the exempt status of the church itself.

9. **Lobbying Activities.** Organizations included in the OCD may lobby for changes in the law, provided such lobbying is not more than an insubstantial part of their total activities. Attempts to influence legislation both directly and through grassroots lobbying are subject to this restriction. The term "lobbying" includes activities in support of or in opposition to referenda, constitutional amendments, and similar ballot initiatives. There is no distinction between lobbying activity that is related to an organization's exempt purposes and lobbying that is not. There is no fixed percentage that constitutes a safe harbor for "insubstantial" lobbying. Please refer to your attorney any questions you may have about permissible lobbying activities.

10. **Political Activities.** *Organizations included in the Group Ruling may not participate or intervene in any political campaign on behalf of or in opposition to any candidate for public office. Violation of the prohibition against political activity can jeopardize the organization's tax-exempt status.* In addition to revoking exempt status, IRS may also impose excise taxes on an exempt organization and its managers on account of political expenditures. Where there has been a flagrant violation, IRS has authority to seek an injunction against the exempt organization and immediate assessment of taxes due. Political Campaign Activity Guidance for Catholic Organizations (March 15, 2004) available at www.usccb.org/ogc, contains detailed information regarding the political activity prohibition. If you have any questions in this regard, please refer them to your attorney.

11. **Public Charity Status.** The latest Group Ruling affirms that organizations included in the OCD are not private foundations under section 509(a) of the Code. However, the Group Ruling does not identify the subsection of section 509(a) under which a particular organization is classified as a public charity. Organizations must determine for themselves whether they qualify for such status under the provisions of section 509(a)(1), (a)(2) or (a)(3). Newly-created or newly-affiliated organizations must establish that they are not private foundations as a condition of inclusion in the Group Ruling and OCD.

12. **Group Exemption Number.** The group exemption number assigned to USCC is 928 or 0928. ***This number must be included on each Form 990, Form 990-T, and Form 5578 required to be filed by any organization exempt under the Group Ruling.***^{14/} We recommend *against* using the group exemption number on Form SS-4, Request for Employer Identification Number, because in the past this has resulted in IRS including USCCB as part of the organization's name when it enters the organization in its database.

¹⁴ IRS has expressed concern about organizations covered under the Group Ruling that fail to include the group exemption number, 0928, on their Form 990 filings, particularly the initial filing.

Internal Revenue Service
District Director

Department of the Treasury

P. O. Box 2508
Cincinnati, OH 45201

Date: July 1, 2004

Person to Contact:
Myrna Huber #31-07276
Telephone Number:
877-829-5500
FAX Number:
513-263-3756

Ms. Deirdre Dessingue
Associate General Counsel
United States Conference
of Catholic Bishops
3211 4th Street, N.E.
Washington, D.C. 20017-1194

Dear Ms. Dessingue:

In a ruling dated March 25, 1946, we held that the agencies and instrumentalities and all educational, charitable and religious institutions operated, supervised, or controlled by or in connection with the Roman Catholic Church in the United States, its territories or possessions appearing in *The Official Catholic Directory* 1946, are entitled to exemption from federal income tax under the provisions of section 101(6) of the Internal Revenue Code of 1939, which corresponds to section 501(c)(3) of the 1986 Code. This ruling has been updated annually to cover the activities added to or deleted from the Directory.

The Official Catholic Directory for 2004 shows the names and addresses of all agencies and instrumentalities and all educational, charitable, and religious institutions operated by the Roman Catholic Church in the United States, its territories and possessions in existence at the time the Directory was published. It is understood that each of these is a non-profit organization, that no part of the net earnings thereof inures to the benefit of any individual, that no substantial part of their activities is for promotion of legislation, and that none are private foundations under section 509(a) of the Code.

Based on all information submitted, we conclude that the agencies and instrumentalities and educational, charitable, and religious institutions operated, supervised, or controlled by or in connection with the Roman Catholic Church in the United States, its territories or possessions appearing in *The Official Catholic Directory* for 2004 are exempt from federal income tax under section 501(c)(3) of the Code.

Donors may deduct contributions to the agencies, instrumentalities and institutions referred to above, as provided by section 170 of the Code. Bequests, legacies, devises, transfers or gifts to them or for their use are deductible for federal estate and gift tax purposes under sections 2055, 2106, and 2522 of the Code.

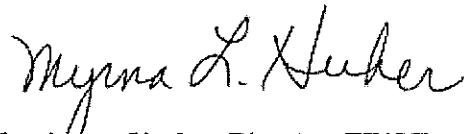
Ms. Deirdre Dessingue

Beginning January 1, 1984, unless specifically excepted, you and your subordinates must pay tax under the Federal Insurance Contributions Act (Social Security taxes) for each employee who is paid \$100 or more in a calendar year. You and your subordinates are not liable for the tax under the Federal Unemployment Tax Act (FUTA).

By May 31, 2005, please send thirteen (13) copies of *The Official Catholic Directory* for 2005 to IRS TE/GE in Cincinnati; one copy to the Processing Campus in Ogden; two copies each to the EO Area Managers in Newark, Brooklyn, Chicago, St. Paul, Atlanta, Los Angeles, the IRS National Headquarters and the Director, EO Examinations, Dallas.

The conditions concerning the retention of your group exemption as set forth in our previous determination letter of August 17, 1983, remain in full force and effect.

Sincerely,

A handwritten signature in black ink, reading "Myrna L. Huber". The signature is fluid and cursive, with the first name "Myrna" being the most prominent part.

for Janna Skufca, Director, TE/GE
Customer Account Services

Exhibit 1: Continuum of Care Service Activity Chart

Fundamental Components in CoC System -- Service Activity Chart

Component: Prevention

DOMESTIC VIOLENCE AND CHILD ABUSE PREVENTION:

A Positive Step - family crisis intervention services

Helpline, Inc. - crisis intervention and referral hotline

FKCS - school-based counseling at four county schools to prevent homelessness among youth.

DAS - violence crisis intervention services

Wesley House offers child care financial support for homeless families and parent education and support to prevent child abuse

EMERGENCY RENTAL ASSISTANCE:

AIDS Help - rental assistance, full-year and part-year, to qualifying individuals with AIDS who might otherwise be homeless

Catholic Charities' Limited rental assistance for the prevention of homelessness

GCMK - eligible homeless can access one-time rental assistance

ENTITLEMENT ASSISTANCE:

DCF - assists eligible clients to receive medically necessary services related to chronic mental illness through Medicaid

Catholic Charities case management and referral to assist individuals in maximizing benefits to become more self sufficient

CCMH - case management in the county jail to ensure access to mental health and/or substance abuse treatment services and appropriate housing placement upon an inmate's release.

FOOD PANTRY

GCMK

Monroe County Social Services

Salvation Army

St. Mary's Soup Kitchen

Catholic Charities

HEALTH CARE

RHN - primary care sites at six different locations providing medical care to the homeless, as well as dental care at one site

TRANSPORTATION AND TRAVEL ASSISTANCE

GCMK - eligible homeless can access transportation and one-time rental assistance by contacting PATH planners, who also conduct outreach on a regular basis.

FKOC, GCMK, Catholic Charities, MARC, USFF and Higher Love Mission Outreach - transportation to and from treatment appointments
FKCS, Catholic Charities and Higher Love Mission Outreach travel assistance to facilitate family reunification

YOUTH:

Wesley House - offers homeless families with children a full range of child care support and family education, support and intervention services.

FKCS, GCMK, CCMH, and A Positive Step - School-based counseling to prevent homelessness among youth

SERVICES PLANNED:

AIDS Help - increased presence in minority communities

Catholic Charities- increase availability of prevention resources in the middle and upper keys.

Component: Outreach

HEALTH SERVICES:

Rural Health Network- offers mobile indigent and homeless primary health care via its Medivan program.

CCMH - provides free medications and psychiatric counseling to individuals incarcerated and after release from incarceration

ACCESS TO MAINSTREAM RESOURCES:

FKOC and City of Key West - outreach and referral to mainstream resources for homeless

Helpline and FKOC operates a 1-800 number for homeless information and referral to mainstream services

Catholic Charities - outreach and referral to mainstream services throughout the keys.

SERIOUSLY MENTALLY ILL/AND OTHER DEVELOPMENTALLY DISABLED

MARC - the major provider of housing and services to the developmentally disabled with psychiatric overlays, provides outreach to this subpopulation.

USFF – primary service provider for SMI. Operates housing programs for SMI homeless in Key West, Key Largo and Marathon

RHN and Helpline - outreach/referral services also serve this population.

SUBSTANCE ABUSE -

GCMK - street outreach and referral to licensed outpatient, residential and detoxification substance abuse programs.

Catholic Charities - provides social services to substance abusers at St. Francis

Community Center

The St. Francis Community Center provides social services, medical assistance and psychiatric services

VETERANS (VETS)

VOAF , Department of Veterans Affairs and the **Naval Health Clinic** - provide office-based and street outreach for homeless veterans

Higher Love Mission Outreach - collaborates with veterans' service outreach workers to go into homeless camps in the Middle Keys.

RHN and Helpline - outreach/referral services also serve this population.

HIV/AIDS

AIDS Help - street outreach in Key West, Marathon and Key Largo. This outreach helps to identify chronic and other homeless men and women with HIV/AIDS, as well as homeless children in families affected by HIV/AIDS

DOMESTIC VIOLENCE (DV) –

DAS - information and referral, crisis counseling, support groups, and case management. Intervention services such as information and referral, crisis counseling and case management throughout the Florida Keys.

RHN and Helpline - Outreach and referral programs.

YOUTH (Y) –

GCMK- DCF and Monroe County School District - Identify homeless youth.

FKCS - provides life skills counselors in the county's three high schools and at middle schools in Key West

A Positive Step - serves the county's adjudicated youth.

Wesley House - has a county-wide network of 80 child care and school age providers coordinating child care and family support services for all families, including the homeless.

OUTREACH PLANNED:

SA – GCMK and FKOC will seek to expand street-level outreach to reach substance abusing homeless persons prior to law enforcement involvement.

HIV/AIDS – Outreach with added emphasis on released prisoner populations.

Catholic Charities -provide an outreach worker to assist the middle and upper keys with 24 hour discharge per the Assertive Community Treatment model

Component: Supportive Services

SERIOUSLY MENTALLY ILL (SMI)

USFF (SMI) –is the primary service provider to this subpopulation and operates the only housing programs in the county geared to this subpopulation.

CCMH in Key West, GCMK GCUK - outpatient mental health and substance abuse treatment available to homeless persons

ACCESS TO MAINSTREAM SERVICES

HigherLove - staff assists individuals in securing identification cards and in filling out forms to qualify for mainstream assistance programs.

Catholic Charities, FKOC and the City of Key West referrals to appropriate services and to initiate housing referrals

CASE MANAGEMENT –

Catholic Charities, VOAF - case management services to homeless

MARC - case management, primary health care, life skills, vocational training, employment assistance, and education services are all provided by to the developmentally disabled

SUBSTANCE ABUSE (SA) –

GCMK - street-level outreach that serves the SA population and can direct individuals to its licensed outpatient, residential and detoxification substance abuse programs.

GCMK - medically supervised detoxification at its stabilization unit in Marathon. One detoxification bed has been established just for homeless individuals.

GCMK and the Lower Florida Keys Health Center at dePoo Hospital - mental health crisis stabilization units

GCMK - Keys to Recovery (KTR) - Residential treatment for men on probation

TRANSPORTATION –

FKOC, FKCS, Monroe County and USFF - transportation for the homeless is coordinated by GCMK or one of its transportation subcontractors, including.

GCMK - is the Community Transportation Coordinator for the transportation disadvantaged and the Medicaid Transportation Coordinator for Monroe County.

EMPLOYMENT SERVICES-

Florida Keys Employment and Training Council - homeless clients of the CoC are provided with educational and vocational rehabilitation training opportunities, life skills and employment assistance.

PRIMARY HEALTH CARE-

Healthy Families of Monroe, also housed at Poinciana Plaza, provides assistance to families in transition such as life skills, parenting skills and permanent housing placement assistance.

RHN operates a primary health care clinic Mondays-Fridays in the Upper, Middle and Lower Keys.

GCMK offers tuberculosis-screening services.

VETERANS

USFF provides medication management, transportation, supervision, and drug testing to the residents of facilities it manages.

YOUTH-

FKCS - operates a truancy intervention program to encourage and facilitate young people in homeless situations to stay in school.

A Positive Step - conditional release program for adjudicated youth (ages 14-21) Provides a 4-6 week respite care home with case management services that include education and employment counseling, recreational activities, drug screenings and referrals

SERVICES PLANNED

SHAL will pursue increases in those services that are proven to decrease and prevent homelessness, such as access to emergency food, rental assistance, medications, job training, healthcare, childcare and other social services.

USFF, Help Line, Samuel's House, VOAF, FKOC, MARC and GCMK are seeking additional funding for job training, psychotherapy, employment counseling, life skills teaching and other activities that contribute to independence

RHN plans to open two additional dental clinics over a three-year period to extend such services to the uninsured and homeless countywide.

Catholic Charities plans to seek additional resources to increase supportive services available to the middle and upper keys.

Prevention Proposal

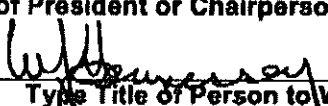
APPENDIX 6

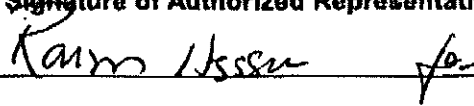
VENDORS STATEMENTS AND CERTIFICATIONS

a. Acceptance of Contract Terms and Conditions	
<p>I, <u>Richard Turcotte, Ph.D.</u>, as an authorized representative of <u>Catholic Charities of the ADOM</u>, hereby agree that if awarded any contract as a result of the Department of Children and Families Request for Proposal, it will comply with the requirements, terms, and conditions stated in the Request for Proposal and in the State of Florida, Department of Children and Families Standard Contract. In recognition thereof, the vendor's representative has read, understood, and agrees to comply with, and any intent by the vendor to deviate from the terms and conditions set forth therein may result, at the department's exclusive determination, in rejection of the proposal.</p>	
Type Name of Authorized Official:	Title:
Richard Turcotte, Ph.D.	Chief Executive Officer
Signature of Authorized Official:	Date:
<i>Raimon Ibsen for</i>	10/12/05

b. Statement of No Involvement	
<p>I, <u>Richard Turcotte, Ph.D.</u>, as an authorized representative of <u>Catholic Charities of the ADOM</u>, certify that no member of this firm/agency, nor any person having interest in this firm/agency has been:</p>	
<ol style="list-style-type: none"> 1. Awarded a contract by the Department of Children and Families on a noncompetitive basis to perform a feasibility study concerning the scope of work contained in this Solicitation, or 2. Participated in drafting this Solicitation, or 3. Developed a program for future implementation with specific subject matter contained in this Solicitation. 	
Type Name of Authorized Official:	Title:
Richard Turcotte, Ph.D.	Chief Executive Officer
Signature of Authorized Official:	Date:
<i>Raimon Ibsen for</i>	10/12/05

Prevention Proposal

c. Proof of Signature Authority	
<p>This Request for Proposal shall include proof of signature authority <u>if someone signs the Request for Proposal other than the President or Chairperson of the Board of Directors.</u></p> <p>This proof shall be one of the following:</p> <ol style="list-style-type: none"> 1. A written statement by the President or Chairperson of the Board delegating authority to a particular person; or 2. A copy of the entity's by-laws reflecting signature authority to a particular position; or 3. A copy of the Board of Directors' meeting minutes that shows action to delegate signature authority to a particular person or position. <p><u>If delegating signature authority, please complete the below and include the above requested document.</u></p>	
<p>Type Name of President or Chairperson of the Board of Directors:</p> <p>Monsignor Hennessey</p>	
<p>Signature of President or Chairperson of the Board of Directors:</p> 	<p>Date:</p> <p>10/13/05</p>
<p>Type Title of Person to Whom Signature Authority is Delegated:</p> <p>N/A</p>	
<p>Type Name of Person to Whom Signature Authority is Delegated:</p> <p>N/A</p>	

d. Conflict of Interest Statement (Non-Collusion)	
<p>I hereby certify, that all persons, companies, or parties interested in the Request for Proposal as principals are named therein, that the proposal is made without collusion with any other person, persons, company, or parties submitting a proposal; that it is in all respect made in good faith; and as the signer of the proposal, I have full authority to legally bind the vendor to the provisions of this proposal.</p>	
<p>Type Name of Authorized Representative:</p> <p>Richard Turcotte, Ph.D.</p>	<p>Title:</p> <p>Chief Executive Officer</p>
<p>Signature of Authorized Representative:</p> 	<p>Date:</p> <p>10/12/05</p>

**CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, INELIGIBILITY AND
VOLUNTARY EXCLUSION
CONTRACTS/SUBCONTRACTS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, signed February 18, 1986. The guidelines were published in the May 29, 1987, Federal Register (52 Fed. Reg., pages 20360-20369).

INSTRUCTIONS

1. Each provider whose contract/subcontract equals or exceeds \$25,000 in federal monies must sign this certification prior to execution of each contract/subcontract. Additionally, providers who audit federal programs must also sign, regardless of the contract amount. Children & Families cannot contract with these types of providers if they are debarred or suspended by the federal government.
2. This certification is a material representation of fact upon which reliance is placed when this contract/ subcontract is entered into. If it is later determined that the signer knowingly rendered an erroneous certification, the Federal Government may pursue available remedies, including suspension and/or debarment.
3. The provider shall provide immediate written notice to the contract manager at any time the provider learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "debarred," "suspended," "ineligible," "person," "principal," and "voluntarily excluded," as used in this certification, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the contract manager for assistance in obtaining a copy of those regulations.
5. The provider agrees by submitting this certification that it shall not knowingly enter into any subcontract with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this contract/subcontract unless authorized by the Federal Government.
6. The provider further agrees by submitting this certification that it will require each subcontractor of this contract/subcontract, whose payment will equal or exceed \$25,000 in federal monies, to submit a signed copy of this certification.
7. The Department of Children and Families may rely upon a certification of a provider that it is not debarred, suspended, ineligible, or voluntarily excluded from contracting/subcontracting unless it knows that the certification is erroneous.

Prevention Proposal

APPENDIX 7**CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, INELIGIBILITY AND
VOLUNTARY EXCLUSION
CONTRACTS/SUBCONTRACTS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, signed February 18, 1986. The guidelines were published in the May 29, 1987, Federal Register (52 Fed. Reg., pages 20360-20369).

INSTRUCTIONS

1. Each provider whose contract/subcontract equals or exceeds \$25,000 in federal monies must sign this certification prior to execution of each contract/subcontract. Additionally, providers who audit federal programs must also sign, regardless of the contract amount. Children & Families cannot contract with these types of providers if they are debarred or suspended by the federal government.
2. This certification is a material representation of fact upon which reliance is placed when this contract/ subcontract is entered into. If it is later determined that the signer knowingly rendered an erroneous certification, the Federal Government may pursue available remedies, including suspension and/or debarment.
3. The provider shall provide immediate written notice to the contract manager at any time the provider learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "debarred," "suspended," "ineligible," "person," "principal," and "voluntarily excluded," as used in this certification, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the contract manager for assistance in obtaining a copy of those regulations.
5. The provider agrees by submitting this certification that it shall not knowingly enter into any subcontract with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this contract/subcontract unless authorized by the Federal Government.
6. The provider further agrees by submitting this certification that it will require each subcontractor of this contract/subcontract, whose payment will equal or exceed \$25,000 in federal monies, to submit a signed copy of this certification.
7. The Department of Children and Families may rely upon a certification of a provider that it is not debarred, suspended, ineligible, or voluntarily excluded from contracting/subcontracting unless it knows that the certification is erroneous.

Prevention Proposal

8. This signed certification must be kept in the contract manager's contract file.
Subcontractor's certifications must be kept at the contractor's business location.

CERTIFICATION

1. The prospective provider certifies, by signing this certification, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this contract/subcontract by any federal department or agency.
2. Where the prospective provider is unable to certify to any of the statements in this certification, such prospective provider shall attach an explanation to this certification.

BY:

~~Richard T. Gable, Ph.D.~~
[NAME OF AUTHORIZED INDIVIDUAL]

10/12/05
[DATE]

Ramona
[SIGNATURE]

Chief Executive Officer
[TITLE]

Prevention Proposal

APPENDIX 8

**CERTIFICATION REGARDING LOBBYING
CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, &
COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or an employee of any agency, a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

BY: Richard Turcotte, Ph.D.
[NAME OF AUTHORIZED INDIVIDUAL]

10/12/05
[DATE]


[SIGNATURE]

[APPLICATION OR CONTRACT NUMBER]

Catholic Charities of the Archdiocese of Miami, Inc.
[NAME OF ORGANIZATION]

9401 Biscayne Boulevard Miami, Florida 33138
[ADDRESS OF ORGANIZATION]

[CITY, STATE, ZIP CODE]

Prevention Proposal

APPENDIX 9

ADMINISTRATIVE ASSESSMENT OF POTENTIAL PROVIDERS

AGENCY: Catholic CharitiesDATE: 10/12/05ADDRESS: 9401 Biscayne Blvd.NO. OF EMPLOYEES: 610Miami, FL 33138NO. OF LOCATIONS
OF BUSINESSES: 30DIRECTOR'S NAME: Michael Perry

Administrative Assessment: An assessment of your organization's managerial, financial, and administrative capabilities will be made partially on the basis of your response to the following questions. If response other than "YES" or "NO" need to be made, please reference the appropriate question and give your response on a separate page. This information must be completed and returned with your response to our Request for Proposals.

	YES	NO	OTHER
1. Property Management			
a. Are property records which describe the equipment, including the item number, the manufacturer's model number, equipment identification number, grant or contract identification number, acquisition date, location and condition of equipment maintained?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Procurement			
a. Are written purchasing policies for procurement of supplies, equipment, construction, and other services on file?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Is a code of conduct in writing maintained which governs performance of the officers, employees, or agents engaged in procurement which states that they will avoid any conflict of interest?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Accounting			
a. Are financial reports prepared monthly for internal management purposes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Does an independent auditor perform a certified audit annually?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Are basic books (listed below) of accounting maintained?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) General ledgers	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Project ledgers	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Accounts receivable/cash receipt journal	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Accounts payable/cash disbursement journal	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Is there adequate segregation of duties among personnel in accounting functions listed below?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Is payroll prepared by someone other than the timekeepers and persons who deliver paychecks to employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are duties of the bookkeeper separate from cash-related functions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Prevention Proposal

(2) Is the signing of checks limited to those authorized to make disbursements and whose duties exclude posting and recording of cash received?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Are personnel performing disbursement functions excluded from the purchasing, receiving, inventory, and general ledger services?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Revenue			
a. Are receipts recorded in a cash receipt journal by individual cost centers?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Is an equitable system of allocating fees and other third party payments to funding sources used when two or more sources are involved?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Do controls exist to ensure that all appropriate costs for eligible service provisions are billed to third party payors in a timely manner?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Are there guidelines for assessing fees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Are these guidelines known to the bookkeeper/cashier?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Is every effort extended to collect fees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Are uncollectable write-offs approved by a responsible official?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Are all checks marked "For Deposit Only" immediately upon receipt?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Are receipts deposited on a regular basis?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Expenditures			
a. Are expenditure entries posted by cost centers?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Is there a system for allocating direct cost when the project is funded by two or more sources?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Are there written procedures for making refunds to clients, third party payors and others?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. If non-profit, does the agency have a tax-exempt number?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Are written travel policies maintained?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Are time and attendance records kept for and signed by all employees by program, by funding source?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Are Federal quarterly payroll tax forms (U.S.941) submitted in a timely manner?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Are individual payroll records maintained on each employee?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Disbursements			
a. Are checks issued in pre-numbered sequential order and are all applicable check numbers accounted for?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Prevention Proposal

- | | | | |
|---|-------------------------------------|-------------------------------------|--------------------------|
| b. Are banks notified in writing when authorized check signers terminate employment with the provider? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Are ledgers/journals reconciled to bank statements on a monthly basis? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. When not in use, are checks locked in a secure cabinet? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Is it prohibited to make disbursements for cash receipts? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| f. Are cash receipts from accounts receivable or other sources mixed with petty cash funds? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| g. Are disbursements from petty cash documented by approved supporting invoices? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Client Funds | | | |
| a. Has your organization been furnished a copy of Volume 10 Accounting Procedures Manual, Chapter 21 by the contract manager? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Is this manual used for the administration of client trust funds? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Are client accounts with balances over \$300 placed in interest bearing accounts? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Are client accounts reconciled monthly? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Are clients' personal allowances and wages deposited to their account within one to four days? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| f. Is there appropriate documentation for petty cash? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Personnel | | | |
| a. Are personnel policies in writing and approved by appropriate authority? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Are job descriptions provided to all employees at the time of initial employment? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Are job descriptions on file for all positions? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Is each staff member appraised on performance, at least annually? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Are staff members asked to review and comment on their evaluation? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

APPENDIX 10

**CERTIFICATION OF LOCAL GOVERNMENT APPROVAL
FOR NONPROFIT ORGANIZATIONS**

I, Dixie M. Spehar, Mayor of Monroe County
[NAME & TITLE]

duly authorized to act on behalf of the MONROE COUNTY
[NAME OF CITY OR COUNTY]

hereby approve the following project(s): CATHOLIC CHARITIES PREVENTIVE SERVICES
[NAME OF AGENCY]

which is (are) to be located in MONROE
[NAME OF CITY OR COUNTY]

BY: Dixie M. Spehar Mayor.
[NAME] [TITLE]

Dixie M. Spehar
[SIGNATURE]

October 14, 2005
[DATE]

"Subject to Ratification by the BOCC"

9401 BISCAYNE BLVD MIAMI SHORES FL 33138	PD
TURCOTTE, RICHARD PH D 9401 BISCAYNE BLVD MIAMI SHORES FL 33138	MD

Annual Reports

Report Year	Filed Date
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2004	05/10/2004
2005	03/17/2005

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